



REQUEST FOR PROPOSAL (RFP) – BID# 7550287

ROUTE 6/10 MULTIMODAL CORRIDOR IMPROVEMENT PROJECT - PRELIMINARY
ENGINEERING

SUBMISSION DEADLINE: Wednesday, March 16, 2016 at 11:30 AM (ET)

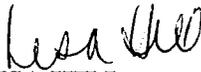
PRE-BID CONFERENCE: NO
 YES Tuesday, March 01, 2016 at 11:00 AM (ET)

Mandatory: NO

YES: Any vendor who intends to submit a bid proposal in response to this solicitation must have its designated representative attend the mandatory pre-bid conference. The representative must register at the pre-bid conference and disclose the identity of the vendor whom he/she represents. Because attendance at the pre-bid conference is mandatory, a vendor's failure to attend and register at the pre-bid conference shall result in disqualification of the vendor's bid proposal as non-responsive to the solicitation.

Location: RI Department of Administration -

One Capitol Hill - Conference Room B (2nd Floor)
Providence, RI

Buyer Name: 
LISA HILL
Title: CHIEF BUYER

QUESTIONS Prospective bidders are hereby notified that all questions pertaining to this contract must be submitted to the Department of Transportation in writing through its website at <http://www.dot.ri.gov/contracting/bids> by accessing the questions & answers menu located within the 'contracting', then 'bidding opportunities' link. Response to the submitted questions will also be posted under this link as an addendum as appropriate. Phone calls will not be accepted.

SURETY REQUIRED: NO

BOND REQUIRED: NO

DISK BASED BID: NO
 YES: See attached Disk Based Bidding Information

NOTE TO VENDORS:

Vendors must register on-line at the Rhode Island Division of Purchases website at www.purchasing.ri.gov. Offers received without the completed three-page Rhode Island Vendor Information Program (RIVIP) Generated Bidder Certification Cover Form attached may result in disqualification.

THIS IS NOT A BIDDER CERTIFICATION FORM

**RHODE ISLAND DEPARTMENT OF TRANSPORTATION
Intermodal Planning Section**

REQUEST FOR LETTERS OF INTEREST/TECHNICAL PROPOSALS

LETTERS OF INTEREST / TECHNICAL PROPOSALS (LOI/TECH) are hereby solicited by the State of Rhode Island's Department of Administration's Division of Purchases on behalf of the Rhode Island Department of Transportation (RIDOT) to acquire professional consultant services for:

**RFP 7550287
Route 6/10 Multimodal Corridor Improvement Project
Preliminary Engineering (30% DSR)
M/DBE GOAL: 10 %**

*The Rhode Island Department of Transportation (RIDOT) has identified the Route 6 and Route 10 highways as priority corridors for infrastructure and transit investment. The **Route 6/10 Multimodal Corridor Improvement Project (6/10 Project)** will evaluate a transportation corridor to include dedicated transit facilities and roadway and bridge infrastructure to improve mobility within the Providence metropolitan area. All aspects of the design, therefore, shall be accomplished in accordance with the applicable regulations, standards and procedures of the RIDOT. This project will have an approved **30% DESIGN** completed.*

*RIDOT anticipates the award of **ONE (1) CONTRACT** that will have a contract completion date of **TWENTY FOUR (24) MONTHS** after the date of authorization to commence work.*

*In line with the Scope of Services defined herein, RIDOT wishes to procure consultant services to complete the **preliminary engineering** for the proposed Route 6/10 Project.*

*At the point of advertisement, all services requested under this contract will be **100% STATE FUNDED**. Per RIDOT current policy, the selected CONSULTANT'S approved Indirect Cost Rate will be subject to the Department's **125.0 % OH CAP**. If the Indirect Cost Rate factor is less than the imposed 125.0% CAP, the lower rate will be used by the Consultant*

CONFLICT OF INTEREST: All Respondents to this RFP shall be advised that the successful 6/10 PRELIMINARY ENGINEERING CONSULTANT and any sub-consultant(s) will be precluded from participating in the 6/10 NEPA CONTRACT concurrently solicited at this time.

LOI/TECH submittals received must be in accordance with guidelines as outlined in this request and the State's General Conditions of Purchase which can be accessed online through the *Rhode Island Vendor Information Program*, or "RIVIP" as it is known, @

<http://www.purchasing.ri.gov>

All Respondents are advised to review all sections of this request thoroughly and to follow the instructions carefully. Failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.

Note: This is a Request for Letters of Interest combined with Technical Proposals, not an Invitation for Bid. Evaluation will be on the basis of the merits of the proposal submitted. There will be no public opening of responses received by the Division of Purchases pursuant to this solicitation other than to name those consulting firms who have responded.

GENERAL INSTRUCTIONS AND NOTIFICATIONS TO RESPONDENTS

- All Respondents **MUST** register online at the Rhode Island Vendor Information Program (RIVIP) Internet website @ <http://www.purchasing.ri.gov>
- A fully-completed signed **RIVIP Bidder Certification Cover Sheet** – All **THREE pages** **MUST** accompany **EACH** response submitted. Failure to make a complete submission inclusive of this three-page document may result in disqualification.

- Should there be a need for assistance in registering and/or downloading any document, call (401) 574-8100 and request the RIVIP HELP DESK technical assistance. Office Hours: 8:30 AM – 4:00 PM.
- The State does not require E-VERIFY compliance in any of its purchasing and/or hiring of services; however, Respondents are hereby advised that in line with the Federal Acquisition Regulations any federal contract based on the services requested may require that the State obtain evidence of E-VERIFY compliance from the successful Respondent.
- The Rhode Island Department of Transportation, in accordance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d - 2000d-4 and 49 C.F.R. Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964, issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, Disadvantaged Business Enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, sex, national origin, age, or disability in consideration for an award.
- Services provided by the successful Consultant - and if applicable any sub-contracts generated through this Contract - shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Contract. The Consultant shall carry out applicable requirements of 49 C.F.R., Part 26, Participation of Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs, in the award and administration of DOT-assisted contracts. Failure by the Consultant to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as the recipient deems appropriate.
- All costs associated with developing and submitting a proposal in response to this RFP, and to provide oral or written clarification of its content shall be borne by the Consultant. The State assumes no responsibility for these costs.
- It is intended that an award pursuant to this RFP will be made to a Prime Consultant, who will assume responsibility for all aspects of the work. Joint venture(s) will not be considered, but sub-contract(s) are permitted provided the sub-consultant(s) proposed are clearly identified with the type of work to be performed in response to this RFP.
- Submissions in response to this solicitation are considered to be irrevocable for a period of not less than one hundred twenty (120) days following the established due date and may not be withdrawn without the express written permission of the State Purchasing Agent.
- Responses misdirected to other State locations or which otherwise are not received by the State Division of Purchases by the established due date for any cause will be determined to be late and will not be considered. The office clock, for the purpose of registering the arrival of a document, is in the reception area of the Department of Administration (DOA), Division of Purchases, One Capitol Hill, Providence, Rhode Island.
- Respondents must possess a working familiarity with the guidelines outlined in the *Rhode Island Standard Specifications for Road and Bridge Construction, 2010 Edition*, which is currently available on-line @ www.dot.state.ri.us.
- Persons or consulting firms practicing engineering services in the State of Rhode Island must possess a proper registration and/ or Certificate of Authorization at the time of submission in accordance with RI Gen Laws 5-8. A copy of the current Rhode Island Certificate of Authorization FOR THE CONSULTANT FIRM and current Rhode Island registrations(s) FOR THE INDIVIDUAL(S) who would perform the specified engineering services required must be included in Proposal submission.

The State Board for Design Professionals can be contacted as follows:

**Board for Design Professionals
1511 Pontiac Avenue
Building 68-2
Cranston, RI 02920**

**Telephone: (401) 462-9592
Fax: (401) 462-9532
Website: www.bdp.state.ri.us**

- Respondents are advised that all materials submitted to the State for consideration will be considered to be public records as defined in RI Gen Laws 38-2, without exception, and will be released for inspection immediately upon request once an award is made.
- In accordance with RI Gen. Laws 7-1.1-1401, no **foreign corporation** (a corporation established other than in Rhode Island) has the right to transact business in this State until it has procured a Certificate of Authority to do so from the Office of the Secretary of State (401) 222-2357.
- This contract has been assigned a 10% Minority/Disadvantaged Business Enterprise (M/DBE) Goal. In order to comply with this requirement, a detailed disclosure of RI certified M/DBE firm(s) and proposed task assignment(s) to be performed must be included in LOI/TECH Submission along with a copy of current state certification letter(s). M/DBE certifications must be approved at the time of submission to ensure M/DBE compliance and availability. The total cost of the M/DBE work assigned must meet or exceed 10% of the Total Contract costs. Be advised that this requirement will apply for the lifetime of the contract; the PRIME Consultant will be responsible to submit a MONTHLY DBE UTILIZATION REPORT documenting aggregated TOTAL contract costs and TOTAL M/DBE participation to date. TWO (2) copies of the M/DBE Reporting documentation will be forwarded directly to the RIDOT/Office of Business and Community Resources as well as a copy included with pertinent monthly progress report/ invoice package.

A list of current Rhode Island State certified DBE firms may be obtained through the State's MBE Office website @ www.mbe.ri.gov. Any questions should be directed to:

**RIDOT Office of Business and Community Resources
Room 110, Two Capitol Hill
Providence, RI 02903
(401) 222-3260**

ADDITIONAL REQUIRED FORMS:

Besides the ***RIVIP Bidder Certification Cover Sheet*** -as required at the State level and obtained through the RIVIP website, RIDOT also requires that the following **FIVE (5) FORMS** be completed and included in your submission package in line with federal regulations and departmental policy. These FORMS will be reviewed for completeness and at the point of award will be made part of contract document.

- **DEBARMENT FORM:** Must be completed and signed by an authorized agent of your Firm.
- **LOBBYING FORM:** Enter known project information on PAGE 1 (DESCRIPTION etc.); Form must be completed and signed by an authorized agent of your Firm.
- **CONFLICTS DISCLOSURE STATEMENT:** In line with directions stated, completed FORM(s) must be signed and submitted accordingly. At a minimum, FORM shall be completed by Board of Directors and key personnel to be assigned to Project.
- **W-9 FORM:** Must be completed and signed by authorized agent of your Firm. ***Form may be downloaded @ www.purchasing.ri.gov.***
- **CERTIFICATION FOR TITLE VI ASSURANCE:** Shall be fully-completed and submitted accordingly

All FORMS (except W-9) are attached to solicitation and shall be completed and copies submitted along with each PROPOSAL submission. ("ORIGINAL" & COPIES). Please note, for W-9 FORM only, one (1) unbound "Original" copy is required at time of submission. Copies of W-9 need not be included in individual proposal submissions.

INSTRUCTIONS FOR PROPOSALS:

Upon review of the Scope of Work (SOW), LOI/TECH submissions must include, at a minimum, the following information for RIDOT review and subsequent final selection recommendation:

- **Letter of Transmittal:** A Letter of Transmittal must accompany each response signed by an owner, officer, or other authorized agent of the consulting firm.

- **RIVIP BIDDER CERTIFICATION FORM:** ALL THREE (3) Pages **MUST** accompany each response submitted. Failure to make a complete submission of this document may result in disqualification. (**SEE GENERAL NOTIFICATIONS**).
- **Proposal Format:** LOI/TECH must be bound or contained in a single volume. All documentation submitted with the proposal must be contained in that single volume. LOI/TECH must be prepared on **8 1/2" x 11"** letter sized white paper printed on both sides sequentially numbered and limited in length to a total of **25 PAGES** – exclusive of table of contents and exhibits, which must be tabbed and included in the bound submission. Font size shall be a minimum of **12 POINTS** for all submittals. ALL documentation in excess of 25 PAGE MAXIMUM will be removed and discarded. LOI/TECH must contain a Table of Contents that cross-references each requirement with specific pages in the LOI/TECH submission.
- **RIDOT Scope of Work and Addenda:** Respondents shall include as part of LOI/TECH Proposal submission a copy of RIDOT'S original RFP and any supplemental Addenda, as applicable.

*Respondents are encouraged to **PLEASE LIMIT THE SIZE AND VOLUME** of the PROPOSAL provided; the evaluation process will be based on the content of the 25 PAGE technical narrative which should be focused on the defined selection criteria cited in this RFP; Respondents are encouraged to concentrate on this 25 PAGE entry in outlining/preparing their submission.*

*Additionally, RIDOT requests **SPIRAL BOUND PROPOSALS PLEASE**; the use of 3-RING binders is discouraged due to the limited storage capacity both at RIDOT and RIDOA.*

*All information requested below must be organized in the **exact order** in which the following RFP requirements are presented with page numbers in consecutive order. The **TECHNICAL PROPOSAL** submission should contain a Table of Contents that cross-references each RFP requirement with specific page cited. Failure to provide proposals in the exact order with a Table of Contents will be disqualified.*

RELEVANT EXPERIENCE/ PAST PERFORMANCE/ CURRENT WORKLOAD

- **Company Introduction:** Respondents are to include a complete description of their consulting firm and other relevant information documenting organizational structure and expertise specific to the services requested.
- **Relevant Firm Experience:** Respondents must demonstrate a minimum of **FIVE (5) YEARS** highway, bridge, and transit engineering design experience as well as describe the project experience of the Project Team. Firm(s) need to demonstrate past experience in the design of bus and rail facilities, including stations and guideways; complete street design; transit signal prioritization; and fixed and non-fixed transit guideways.
- **Project Listing:** Respondents are to include a project listing of projects similar in concept to the scope of services defined herein that have been completed within the last **TEN (10) YEARS**. Respondents may submit a **maximum of THREE (3)** Projects for review.

With respect to each project cited, Respondent shall provide the client names, addresses, and contact information (Phone & E-mail). This information is required not only for the Prime Respondent but also for any key Sub-consultants to be assigned to project. By so listing, specific permission is granted to RIDOT to contact said individuals to verify the satisfactory performances of services provided. Respondent acknowledges that RIDOT is granted specific permission to discuss past performance of Respondent and its team members on any projects.

- **Current Workload:** Respondents must include a current listing of projects contracted to perform and their anticipated completion dates. This may include only those projects assigned to your engineering design divisions.
- **Performance Record:** RIDOT will take into consideration not only the quality of previous work performed but also the timeliness of requested submissions, adherence to project schedule, and responsiveness to requests.

STAFF QUALIFICATIONS / PROJECT TEAM

- **Staff Qualifications:** RIDOT seeks the services of experienced engineering consulting firms to complete the preliminary design of the 6/10 Multimodal Corridor Improvement Project.

The consulting firm selected must designate a **Project Manager** with the authority and expertise to assign personnel to specific tasks and to schedule tasking to complete tasks as required. The Project Manager must be flexible in his/her approach to this contract. The Project Manager shall be a RI registered Professional Engineer.

Respondents are to include 1) listing of experienced personnel currently on staff, 2) resumes of proposed key personnel to be assigned to this project, including identification of Project Manager and 3) the approximate percentage of each employee's time to be expended on this project.

- **Change in Personnel:** Management of this contract will be under RIDOT'S Intermodal Planning Section responsible for approval of all staff assigned to the project. RIDOT must be informed of any changes in personnel at any time during the contract term. RIDOT reserves the right to reject personnel and/or if in the event key personnel are no longer available, RIDOT reserves the right to terminate the contract.
- **Organizational Chart** of the proposed project team must be included. The Respondent shall describe how the proposed organizational structure will address the full scope of this project. Project Management and assigned services shall be documented on chart provided. Additionally, please include the name of Project Manager assigned each organization cited on chart.
- **Standard Federal Form 330** (effective 6/8/04) must be completed by the Prime Respondent only and included in each LOI/TECH Proposal. Access to this current form may be obtained through the following website: www.gsa.gov. NOTE: If Prime chooses to present key personnel resumes as part of SF 330, they need not be submitted separately within Proposal document. If resumes are part of SF 330 please reference accordingly in narrative.
- **Sub-Consultant(s):** The Respondent must disclose the identity and work arrangements established between the Prime and proposed Sub-Consultant firm(s), if any, to be assigned to this project. Full disclosure of the proposed project team requires 1) a listing of experienced personnel currently on staff, 2) resumes of proposed personnel to be assigned to this project, including identification of the key Project Manager, and 3) the approximate percentage of each employee's time to be expended on this project. **Please include Cover Letter from SUB to PRIME prefacing each sub-consultant proposal provided.**

PROJECT APPROACH AND WORK PLAN AND PROJECT SCHEDULE

- **Project Approach:** Respondents shall provide a detailed technical synopsis of their proposed services including any technical issues that will or may be confronted especially in regards to:
 - Direction received by FTA regarding the Class of Action for the Project throughout the NEPA process
 - Working in coordination/cooperation with the NEPA Documentation and Conceptual Design consultant
 - Dealing with bridge replacements and repairs, roadway replacement and repair, and fixed guideway conceptual design in one comprehensive project
- **Work Plan and Project Schedule:** A detailed work plan and proposed project schedule that addresses each of the project requirements as described in the attached SCOPE OF WORK.

FIRM'S SUITABILITY TO PROJECT

- **Firm's Suitability to Project Needs:** As part of the evaluation process, RIDOT will take into consideration the size and scope of the project proposed in determining the technical suitability of a firm to provide the requested services. RIDOT will assess each firm's technical capacity and relative firm size in relationship to the level of project complexity and scope.

M/DBE PARTICIPATION

- **DBE Requirement:** The contract has been assigned a 10% Minority/Disadvantaged Business Enterprise (M/DBE) Goal. In order to comply with this requirement, a detailed disclosure of RI certified M/DBE firm(s) and proposed task assignment(s) to be performed **MUST be included in LOI/TECH PROPOSAL SUBMISSION** along with a copy of current state certification letter(s). M/DBE certifications must be *approved* at the time of technical proposal submission to ensure DBE compliance and availability.
- **Supplemental Technical Information:** Respondents are encouraged to submit any other technical information deemed useful to provide RIDOT with sufficient information to evaluate the consulting firm's qualifications to perform the requested services.

Once a **Final Selection recommendation** have been determined, the **selected** Consulting Firm will be required to submit the following documentation to RIDOT for review and acceptance **prior to contract award**:

- **Commitment to Affirmative Action:** Respondents must provide a copy of their current Affirmative Action Plan to the State EEO Office for compliance review and approval.
- **Financial Status:** In line with RIDOT TAC-0255, "Financial Statements for Professional Services Contracts", the selected Consultants will be required to submit a **Financial Review Report** to RIDOT for review. All financial documentation submitted will be kept confidential and on permanent file in the Contract Administration Office.

PRE-PROPOSAL MEETING

Interested Respondents are encouraged to attend a public Pre-Proposal Meeting to be held on TUESDAY, MARCH 1, 2016 @ 11:00 AM at the RIDOA/ Office of Purchases, Conference Room "B", 2nd Floor, One Capitol Hill, Providence, RI 02908.

Any questions relative to the SOW as well as any questions regarding RIDOT procedures and proposal format will be addressed at the Pre-Proposal Meeting. A summary of the Pre-Proposal Meeting will be posted on the Internet as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

Persons requesting the services of an interpreter for the hearing impaired may obtain those services by calling (401) 222-4971 forty eight (48) hours in advance of the scheduled Meeting.

ON-LINE QUESTIONS

Any pertinent questions subsequent to this solicitation may be posted at the RIDOT'S "Bidding Opportunities" web page accessible at: <http://www.dot.ri.gov/contracting/bids> and follow the link to "?" to submit questions for this solicitation. Responses to questions submitted for the subject project will also be posted under the same questions menu. The Q & A Forum will disable 5 FULL CALENDAR DAYS prior to the due date for this project. Therefore, questions will not be accepted **after NOON on MARCH 10, 2016**. Upon the close of questions, all questions received and responses posted by RIDOT will be subsequently posted as a formal ADDENDUM on the RIVIP Website and therefore incorporated as part of this RFP.

SUBMISSION REQUIREMENTS & DUE DATE

Upon review of the Scope of Work (SOW), an "Original" and **FIVE (5) copies** of completed **LOI/TECH PROPOSAL** submissions should be sent to the Division of Purchases by the specified deadline to the address listed below. RIDOT requires that the Proposal submission also be submitted not only in hard copy form but also on CD-ROM attached to the inside cover of each Proposal submission.

Requested documentation is to be either mailed or hand delivered in a sealed envelope marked: "RFP 7550287 - Route 6/10 Transit Corridor Preliminary Engineering (30% DSR)" by **MARCH 16, 2016 no later than 11:30 A.M. to:**

COURIER OR MAIL:
RI Department of Administration
Division of Purchases (2nd fl)
One Capitol Hill
Providence, RI 02908-5855

NOTE: Proposals received after the above referenced due date and time will not be considered. (SEE GENERAL NOTIFICATIONS)

EVALUATION AND SELECTION:

Detailed LOI/TECH submittals will be evaluated by RIDOT through the standard Consultant Selection Process. A Technical Review Committee (TEC) will be convened comprised of members of the RIDOT Division responsible for the project under consideration. A written evaluation and ranking of each proposal will be prepared by the TEC incorporating factors based on the following **TECHNICAL SELECTION CRITERIA and MAXIMUM POINTS** assigned:

<p>1. PROJECT APPROACH</p> <ul style="list-style-type: none"> • Did technical approach provide a full understanding of the project scope and potential tasks and services? • Did the Consulting Firm address their response time and turnaround capabilities? • Was a detailed work plan and proposed project schedule provided? Were all projects requirements addressed? 	<p>0 - 25 POINTS MAX</p>
<p>2. STAFF QUALIFICATIONS</p> <ul style="list-style-type: none"> • Does the Consultant have at least FIVE (5) YEARS of highway, bridge, and transit engineering design experience? • Did the Consultant demonstrate past experience in the design of bus and rail facilities, including stations and guideways; complete street design; transit signal prioritization; and fixed and non-fixed transit guideways? • Did the Consultant provide a maximum of THREE (3) similar projects completed within the last TEN (10) YEARS? • Were references and contact information provided for each project presented? • Did the proposed key Sub-Consultants provide the similar requirements and contact information? • Was an organizational chart provided? Were all anticipated technical services represented? • 	<p>0 - 25 POINTS MAX</p>
<p>3. RELEVANT EXPERIENCE</p> <ul style="list-style-type: none"> • Was project experience similar in nature to services anticipated in Scope? • Was sub-consultant experience relevant? • Does experience presented by Prime and Sub-Consultants demonstrate a working knowledge of preliminary engineering, all State and Federal transportation laws as well as experience working for RIDOT? 	<p>0 - 20 POINTS MAX</p>
<p>4. PAST PERFORMANCE</p> <ul style="list-style-type: none"> • With regard to the similar projects presented and contacts listed, how was the Consultant's performance rated in terms of quality of work, timeliness of submissions, adherence to project schedule, coordination with stakeholders and responsiveness to requests? 	<p>0 - 10 POINTS MAX</p>
<p>5. FIRM'S SUITABILITY TO LEVEL OF PROJECT COMPLEXITY</p> <ul style="list-style-type: none"> • Does the Prime and Sub-Consultant(s) possess the technical capacity suitable to the level of project complexity anticipated under this Project? • Does the Prime and Sub-Consultant(s) possess the ability to handle all elements addressed in the project scope in a timely and responsive manner? 	<p>0 - 10 POINTS MAX</p>
<p>6. CURRENT WORKLOAD</p> <ul style="list-style-type: none"> • Was a current listing of active projects provided along with their anticipated completion dates? 	<p>0 - 5 POINTS MAX</p>
<p>7. M/DBE PARTICIPATION</p> <ul style="list-style-type: none"> • Were approved M/DBE Certifications provided for each M/DBE firm proposed? • Is the PRIME a RI Certified M/DBE Firm? • If not, how many M/DBE Firms were proposed? To provide what services? 	<p>0 - 5 POINTS MAX</p>
<p>MAXIMUM SCORE:</p>	<p>100 POINTS MAX</p>

Upon completion of the written evaluation of all LOI/TECH submissions, the Technical Review Committee may, at its discretion, contact the top-ranked candidate consulting firm(s) to be called for formal interviews. Such interviews will be factored into the final evaluation and ranking of candidates.

The TEC'S final selection recommendations will then submitted to the RIDOT Advisory Consultant Selection Panel for consideration and approval. With the support of the Director of Transportation, the final selection recommendations will be presented to the State's Architectural / Engineering Consultant Services Selection Committee for consideration. Upon final selection approval from the Director of Administration, all Respondents will be notified that a final selection has been made.

NEGOTIATION / AUDIT STATUS

The selected Consultant Firm will be directed to submit a formal financial proposal to RIDOT, and negotiations will be completed on a **Cost plus Fixed Fee** basis. The Prime and and/or Sub-consultant(s) will be required to undergo a pre-award review conducted by the RIDOT External Audit Section. Pre-award reviews may be waived when and if sufficient and current audited cognizant data is available through a previous audit performed by another State/Federal agency or an audit performed by another local governmental agency. This use of an independent audit must be submitted, reviewed and deemed acceptable by the RIDOT External Audit Section prior to contract award.

For information regarding all documents required for INDIRECT COST RATE submissions, the **RIDOT AUDIT HANDBOOK** can be found on the RIDOT website @ www.dot.ri.gov listed under the "Contractors and Consultants" link.

CONTRACT AWARD

The successful Respondents must be prepared to provide necessary data to support all costs associated with project expenditures.

Notwithstanding the above, the State reserves the right to accept or reject any or all options, proposals, to award on the basis of cost alone, and to act in its best interest.

At any point during the review process, any proposal found to be substantially non-responsive will be dropped from further consideration.

The State may, at its sole option, elect to require presentation(s) by respondents clearly in consideration for award. Other submissions, certifications, or affirmations may be required, as appropriate.

The State reserves the right to make an award or multiple awards or to reject any or all proposals based on what it considers to be in its best interest.

SCOPE OF WORK

FOR

Route 6/10 Multimodal Corridor Improvement Project Preliminary Engineering (DSR-30%)

Project Overview

The Rhode Island Department of Transportation (RIDOT) has identified the Route 6 and Route 10 highways as priority corridors for infrastructure and transit investment. The Route 6/10 Multimodal Corridor Improvement Project (6/10 Project) will evaluate a transportation corridor to include dedicated transit facilities and roadway and bridge infrastructure to improve mobility within the Providence metropolitan area. All aspects of the design, therefore, shall be accomplished in accordance with the applicable regulations, standards and procedures of the RIDOT. This project will have an approved 30% design completed.

The limits of the proposed improvements and required design elements will be further defined as the result of the Route 6/10 Multimodal Corridor Improvement Project, NEPA Documentation and Conceptual Design project.

Task 1: Project Management and Administration

Objectives:

- Monitor, organize, and control manpower assignments, work effort, submission of deliverables, schedules and costs associated with the team's effort.

- Maintain continual control of the progress of work as part of this agreement and ensure that all elements are being coordinated among all interested parties in accordance with direction from RIDOT.
- To ensure that the Project is developed in a manner that is consistent with RIDOT's quality standards.

Work Elements:

- 1.1 Project Procedures Manual – Prepare a project procedures manual that defines project goals, assigns project responsibilities, details the scope of services, and defines the project schedule.
- 1.2 Kick-Off Meeting – Prepare for and conduct a project kick-off meeting between the consultant and RIDOT and prepare meeting minutes.
- 1.3 Coordination Meetings – Prepare for and conduct:
 - Weekly project management meetings with the consultant and sub-consultants
 - Weekly project coordination meetings with RIDOT and key stakeholders, including, but are not limited to, Rhode Island Public Transit Authority (RIPTA); the municipalities within the Providence metropolitan area; and the Rhode Island MPO.
- 1.4 Progress Reports/Invoices – Develop monthly invoices and progress reports. Monthly progress reports will be required in accordance with RIDOT Design Section Policy.
- 1.5 QA/QC – Develop a Quality Assurance/Quality Control (QA/QC) Manual for approval by RIDOT; all deliverables and materials submitted will adhere to the approved QA/QC Manual. The QA/QC manual should include sections for Constructability Review and independent Value Engineering Services.

TASK 1 Deliverables:

- Project Procedures Manual
- Meeting Notices, Agendas, Materials and Minutes
- Monthly Progress Reports and Invoices
- Monthly Project Schedule Updates
- QA/QC Manual

Task 2 – Data Collection

Objectives:

- Conduct field surveys to gather information not available or no longer valid.

Work Elements:

- 2.1 Base Control Survey including Utilities – Assess the available survey information gathered by the NEPA Documentation and Conceptual Design Consultant for the transportation corridor and supplement with information not available to prepare baseline survey including utilities and property lines.
- 2.2 Existing Geotechnical Data – Assess the available soil survey information gathered by the NEPA Documentation and Conceptual Design Consultant along the transportation corridor alternatives and develop the required geotechnical investigation and testing plan needs for the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract.
- 2.3 Existing Structural Analysis/Inspection – Assess the available structural inspection reports gathered by the NEPA Documentation and Conceptual Design Consultant and conduct visual analysis to verify report findings.
- 2.4 Existing Work Products – RIDOT will provide any relative project corridor work documents for review and inclusion as deemed necessary. This will include, but not be limited to, the Environmental Impact Statement and Record of Decision for the 6/10 Interchange.

TASK 2 Deliverables:

- Documented survey plans and reports
- Geotech Data Report
- Structural Analysis Report

Task 3 – Program Development and Documentation

Objectives:

- Document the existing conditions of the project corridor
- To establish a schedule and cost baseline for the project
- Meet FTA's requirements for a Project Management Plan
- Establish the base of the design criteria for the fixed guideway

Work Elements:

- 3.1 Perform field reconnaissance / site visits and develop corridor wide photo and video documentation – Color photographs are to be taken of every bridge, building, billboard, or other type of structure in or adjacent to the proposed fixed guideway. Color photographs should also be taken of areas of interest including wetlands, areas of suspected or confirmed environmental concerns, and every proposed intersection of the fixed guideway with public or private streets/roadways. Color photographs will also be taken of the corridor itself at intervals of approximately 1000 feet in both directions. Video documentation of the entire corridor itself will be taken along with the color photographs.
- 3.2 Develop and maintain a critical path method schedule – Develop an overall project master schedule for the entire project to include, but not limited to, tasks related to environmental investigations, design functions and activities, real estate acquisition, utility relocations, railroad interface, bid and award process, construction, testing and startup activities. Tasks following the preliminary design phase will not be shown in detail.
- 3.3 Develop and maintain Project Management Plan (PMP) – Complete a PMP to meet FTA's requirements for RIDOT's review and approval. It should communicate baseline requirements and standards for implementation and summarize the function of certain key elements in the management strategy for the project.
- 3.4 Develop and maintain a financial management and control reports – Develop a baseline cost estimate consisting of all known project elements to be reviewed and approved by RIDOT. The estimate will include, but not limited to, program management, environmental site investigation, preliminary right of way activities, preliminary fixed guideway design, state design, preparation of bid documents, right-of-way acquisition, utilities relocation, final design and construction (via the proposed design/build contract), and appropriate contingencies. Cost estimates must be submitted in the standard Work Breakdown Structure (WBS) format of the RIDOT's Design Section for each anticipated construction contract.
- 3.5 Fixed Guideway Design Manual – Develop design standards, guidelines, and generalized standard drawings for the fixed guideway preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. This will be the baseline for the design criteria for this project and assist in guiding the aesthetic design of the project to fit within the neighborhood context.

TASK 3 Deliverables:

- Field Reconnaissance report
- Baseline Master Schedule
- Baseline Project Estimate
- Project Management Plan
- Fixed Guideway Design Manual

Task 4 – Preliminary Engineering

Objectives:

- Advance preferred alternative conceptual layout developed during NEPA phase to a 30% design level
- Develop design level base mapping

- Develop preferred alternative further to establish roadway geometry and structure type, including transit features, necessary for the design/build package.

Work Elements:

- 4.1 Mapping - New photogrammetric mapping, sufficient to produce 1" = 20' scale mapping according to National Map Accuracy Standards, shall be obtained. Horizontal control needed to prepare the new mapping shall be tied into the Rhode Island State Grid Coordinate System and shall be based on NAD83. Vertical control shall be established based on the NGVD88 vertical datum. RIDOT will provide for state roads within the project area mobile LiDAR collected in 2015. Where available RIDOT will also provide any additional project level static LiDAR.
- 4.2 Field Surveys - All necessary ground control survey for reproducing the existing highway center lines and the State highway lines, including tying all work into the Rhode Island Coordinate System, is included in this phase. The existing and proposed centerline and the existing and proposed right-of-way lines shall be tied to the Rhode Island Coordinate System. The base line may be established in a sidewalk, on a curb line, in shoulder areas or in other areas with reference ties and descriptions. Bench marks shall be established beyond the proposed limits of construction, on sound immovable objects, at no more than 300-foot intervals. Stations and half stations of the proposed highway centerline are to be adequately marked on the project site as part of this phase. All survey work must meet the requirements and standards of the Survey Section of the RIDOT.
- 4.3 Utility coordination - Contacts shall be made with public and /or private utilities which currently exist or who may enter the project roadway with betterments and/or new facilities during the projected design period. The consultant shall obtain all pertinent utility data within the project limits. If necessary, the consultant shall secure the services of a firm capable of subsurface utility designation and location. The designation and location of underground utilities will be accomplished under supplemental agreement. The subsurface utility information obtained will be used in the storm drainage and traffic signal design to avoid utility conflicts, where feasible. Overhead utilities shall be surveyed, as necessary, in connection with traffic signal design to ensure that new traffic signal hardware can be placed in a way that achieves the required clearances from overhead utility lines. GIS coordinates at the center of each signalized intersection on the project will be required.
- 4.4 Railroad coordination – It is anticipated that a series of meeting will need to be conducted with Amtrak for project coordination at each phase of the project and will be conducted on an ongoing basis.
- 4.5 Review environmental documents – All documentation resulting from the NEPA Documentation and Conceptual Design contract will be obtained and reviewed.
- 4.6 Preliminary Field view – Field view of the entire project corridor will be conducted shortly after notice to proceed. All findings from this field site visit will be incorporated into the field reconnaissance report.
- 4.7 Preliminary Line, Grade and Typical Sections – Develop a graphical centerline (baseline) and profile for the fixed guideway, highway, and bridge alignments. The plan scale of 1 inch equals 20 feet is to be used based on the aerial photogrammetry for the project. The cross section scale will be in accordance with the requirements of the RIDOT's Design Policy Memos (DPMs). Other requirements for drafting, plan materials, plats, etc., will be in accordance with the requirements of the RIDOT's Design Policy Memos.
- 4.8 Preliminary Signing and Marking – Develop a signing and marking plan for all project elements including the fixed guideway, highway, and bridge project elements.
- 4.9 Preliminary Traffic Signals – Develop preliminary design plans for all traffic signals within the project area. This includes any revisions to existing intersections or new ones being proposed as a result of the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. It may also include signal pre-emption, transit signal priority, and alternative vehicle detection systems.
- 4.10 Preliminary Traffic Control (Maintenance and Protection of Traffic during Construction) – Develop preliminary traffic control measures for the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. Develop preliminary land usage during construction.
- 4.11 Pavement Design – Provide preliminary pavement design and criteria for the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. Pavement should be designed in accordance with Federal Highway Administration (FHWA) policies, using AASHTO pavement design procedures.

- 4.12 Preliminary Drainage Plan – Prepare a preliminary drainage plan in accordance with FHWA’s hydraulic circulars procedures and in accordance with the storm frequencies outlined in DPM 50-11 (w/ latest addenda). Include the development of a pre- versus post-watershed analysis report, including flow volume, velocity and rate comparisons for the 2-, 10-, 25- and 100-year storm events for all new or enlarged storm drainage discharge locations. The drainage design will also include a description of best management practices for the purposes of obtaining the required water quality permits. All applications for water quality permits will be coordinated at this time. A pollutant loading analysis, if necessary, will be provided by the consultant through a supplemental agreement.
- 4.13 Review Traffic Studies – Review the traffic studies conducted during the NEPA Documentation and Conceptual Design project. Recommend any changes or additions needed for evaluation by RIDOT.
- 4.14 Environmental Permit Applications – Prepare and submit to RIDOT all necessary information required for submission of the various permit applications needed for the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. Permits assumed to be included at this time include coordination with Rhode Island Department of Environmental Management, Coastal Resource Management Council and the Army Corp of Engineers.
- 4.15 Preliminary erosion and sedimentation control – Evaluate the general flows of runoff during construction and identify the preliminary erosion and sedimentation control facilities as required and locate them on the plans based on the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract.
- 4.16 Structure Investigations and Preliminary Design – Conduct structural investigations and develop a structure type study for all bridges located within the project area. After review and approval by RIDOT, preliminary design will be completed on all structures within the corridor based on the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. The existing RIDOT Bridge Inspection Reports will be made available to the consultant for information only. The consultant will be responsible for making his own field observations to gather necessary information. Plans of existing bridges are available for the consultant’s use.
- 4.17 Foundation Exploration – Perform pilot subsurface investigations in the foundation areas of the structures included in this project. Each bridge included should have a completed geotechnical investigations and a foundation report. All subsurface investigations shall be conducted and all geotechnical reports shall be prepared and submitted for review and approval prior to proceeding with the 30% bridge design stage or at a minimum 45 calendar days prior to submission of 30% bridge plans.
- 4.18 Preliminary Soils and Geological Report and Profile – Investigate the subsurface conditions along the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. This task is linked to Task 2.2 listed above.
- 4.19 Preliminary Lighting – Develop preliminary lighting for the fixed guideway and associated stations, and other necessary infrastructure based on the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. Coordination with the utility companies will need to be completed to provide all electrical service needs and drop locations.
- 4.20 Preliminary Right of Way Activities - The preparation of Right-of-Way Plans, Condemnation Plats, Plat Descriptions, temporary easements, and permanent easements will be part of this scope. This item will include all necessary work for right-of-way research and all necessary ground surveys to determine property lines in accordance with the RIDOT’s DPMs.
- 4.21 Preliminary Landscaping – Develop preliminary landscaping design based on the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract.
- 4.22 Stations – Establish typical station requirements based on the Fixed Guideway Design Manual. Each station requirements may differ based on the expected use for the proposed stations from the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract.
- 4.23 Station Site Design – Develop station site designs for each station as proposed in the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract.
- 4.24 Pre-Acquisition Environmental Site Assessments – Conduct necessary hazardous materials studies based on the finding presented in the NEPA Documentation and Conceptual Design work products in the form of Phase I Environmental Site Assessments and when appropriate Phase II Environmental Site Assessments.

- 4.25 Intelligent Transportation System (ITS) – Prepare preliminary design specifications for Intelligent Transportation Systems based on the preferred alternative as determined by the NEPA Documentation and Conceptual Design contract. It is anticipated that the major component of the ITS will be Intelligent Traffic Signal Priority System.

TASK 4 Deliverables:

- Design Study Report
- Photogrammetric Mapping
- Field Survey Report
- Utility Coordination and Relocation Plan
- Preliminary Design Submission (30%)
- Environmental Permit Applications and associated documentation
- Structure Type Studies
- Foundation Report

Task 5 – Design/Build RFP

Objectives:

- Assist with the drafting and program development of a Design/Build RFP and package utilizing the 30% design plans developed under Task 4.

Work Elements:

- 5.1 Develop engineering plans and specifications required to design-build RFP – This project is assumed to proceed under a Design-Build contract, to be bid following approval of 30% Design. The 30% Design construction contract will be in accordance with all current DPMs of the RIDOT.
- 5.2 Develop design-build contract documents
- 5.3 Develop design-build RFP and evaluation criteria

TASK 5 Deliverables:

- Design-Build Contract Packages and Documents
- Design-Build RFP and evaluation criteria

General Notes/Requirements:

1. The widths of the lanes, shoulders and other design criteria shall be based on the Design Hourly Volume and the recommendations contained in the Highway Capacity manual, and they shall be designed in accordance with the applicable AASHTO criteria.
2. The project shall be designed in accordance with the Americans with Disability Act (ADA) regulations.
3. During the Preliminary Design of the Project, the Consultant will be required to coordinate with the Rhode Island Historical Preservation and Heritage Commission through the Rhode Island Department of Transportation.
4. Coordination with Rhode Island Department of Environmental Management, the Army Corps of Engineers and the Coastal Resources Management Council may be required.
5. The consultant will be required to coordinate with the ongoing design and/or construction of other nearby RIDOT projects.

6. A project pavement design will be developed by the RIDOT procedures based upon the AASHTO Guide for Design of Pavement Structures (latest edition) adjusted for Rhode Island regional conditions.
7. Preliminary Design, as all other work, will be undertaken in accordance with the requirements of the RIDOT Action Plan. Attachment 1 contains a list of Design Criteria for this project.
8. All geotechnical reports must be submitted in the format of GDR (geotechnical data report) and GIR (geotechnical interpretive report)
9. Design plans are to be prepared at the scale previously indicated. Mapping and all plans shall be prepared in electronic format (CAD) and will be the property of the RIDOT upon completion of work. All mapping and plans must meet the RIDOT's specifications.

-END OF SCOPE-

Attachment 1

Design Criteria: The following applicable design criteria are to be utilized in the development of all alternate solutions and the final detail design. Latest editions and revisions shall be used.

- (1) A Policy on Geometric Design of Highways and Streets, latest edition
- (2) Highway Capacity Manual, latest edition
- (3) Manual on Uniform Traffic Control Devices, Latest edition and its amendments
- (4) Rhode Island Standard Specifications for Road and Bridge Construction, latest edition, with latest corrections and addenda
- (5) Rhode Island Standard Details, latest edition, with latest revisions
- (6) Design Policy Memos, with latest revisions
- (7) Rhode Island Bridge Design Manual, LRFD Version and LRFR Policy.
- (8) AASHTO LRFD Bridge Design Specifications, latest edition, including latest interim specifications
- (9) 23 CFR 625, Design Standards for Highways, including its Non-regulatory Supplement
- (10) Rhode Island Department of Transportation Action Plan, with the September, 1991 Public Participation revisions included
- (11) 23 CFR 626, Pavement Policy, including its Non-regulatory Supplement.
- (12) Federal-Aid Policy Guide (FAPG) 626, Pavement Design Policy
- (13) RIDOT Standard Bridge Details, latest edition
- (14) ANSI/AASHTO/AWS D 1.5 Bridge Welding Code, including latest interims
- (15) AASHTO Manual for Condition Evaluation and Load Resistance Factor Rating of Bridges 2003, including latest interim specifications
- (16) AASHTO Roadside Design Guide, Latest Edition
- (17) FHWA Publication FHWA-IF-09-010, Connection Details for Prefabricated Bridge Elements and Systems
- (18) NACTO Urban Street Design Guide
- (19) ITE, "Designing Walkable Urban Thoroughfares: A Context Sensitive Approach"

Data to be supplied by the Department of Transportation:

- (1) The Design Section of the Rhode Island Department of Transportation will supply copies of all available highway plans and right-of-way plans for the State Highway facilities in the area of the study.

CONSULTANTS

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS FOR PRIME CONSULTANTS
AND LOWER TIER PARTICIPANTS (SUBCONSULTANTS ETC.)**

Appendix B - - certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

INSTRUCTIONS FOR CERTIFICATION:

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility And Voluntary Exclusion - - Lower Tier Covered Participants

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS**

In accordance with the code of Federal Regulations, Part 49 CFR Section 29.510, the prospective primary participant _____ (name of Authorized Agent), _____ (Title), being duly sworn (or under penalty of perjury under the laws of the United States), certifies to the best of his/her knowledge and belief, that its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification;
- d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall list exceptions below.

Exceptions will not necessarily result in denial of award, but, will be considered in determining contractor responsibility. For any exception noted, indicate below to whom it applies, the initiating agency, and the dates of the action. Providing false information may result in criminal prosecution or administrative sanctions. If an exception is noted the contractor must contact the Department to discuss the exception prior to award of the contract.

Signature of Authorized Agent

Date

Certification for Federal-Aid Construction/Consultant Contracts

IN ACCORDANCE WITH PUBLIC LAW 101-1210 SECTION 319 (DEPARTMENT OF THE INTERIOR AND RELATED AGENCIES) THE PROSPECTIVE PARTICIPANT CERTIFIES, BY SIGNING AND SUBMITTING THIS BID OR PROPOSAL, TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF, THAT:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.

(R.I.D.O.T. APPENDIX C)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to Title 31, U.S.C. Section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (03-48-00-46), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 - 0348-0046
(see reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change</p> <p>For Material Change Only: year _____ quarter _____ date of last report _____</p>
<p>4. Name and Address of Report Entity:</p> <p><input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier ____, if known:</p> <p>Congressional District, if known:</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p>	
<p>6. Federal Department Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Entity:</p> <p>(if individual, last name, first name, mi):</p>	<p>10. b. Individuals Performing Services (including address if different from No. 10a)</p> <p>(last name, first name, mi):</p>	
<p>11. Amount of Payment (check all that apply)</p> <p>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>	<p>13. Type of Payment (check all that apply):</p> <p><input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other, specify: _____</p>	
<p>12. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____</p>		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contracted, for Payment indicated in Item 11 (Attach Continuation Sheet(s) SF-LLL-A, if necessary):</p>		
<p>15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> yes <input checked="" type="checkbox"/> no</p>		
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. this disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No: _____ Date: _____</p>	
<p>For Federal use Only:</p>	<p style="text-align: right;">Authorized for Local Reproduction Standard Form – LLL-A</p>	

DISCLOSURE OF LOBBYING ACTIVITIES

CONTINUATION SHEET

Reporting Entity: _____ Page _____ of _____

CONFLICTS DISCLOSURE POLICY

To ensure that the Rhode Island Department of Transportation (RIDOT) maintains the continued confidence and trust of the people of Rhode Island in carrying out its mission, prospective vendors must disclose any family (or other personal) relationships, associations or connections that the vendor, its affiliates, or employees, may currently have with any RIDOT employee. A Conflicts Disclosure Statement shall be submitted to RIDOT from the following:

- ❖ Owners;
- ❖ Directors;
- ❖ Principals;
- ❖ Officers, board members, or individuals with corporate authority;
- ❖ If the vendor is a partnership, the applicant's partners;
- ❖ If the vendor is a limited liability company, its members and managers;
- ❖ Employees with decision-making authority, including executive directors, managers or individuals in a similar position with corporate authority; and
- ❖ Shareholders with a controlling interest.

The bidder shall include the provisions of paragraphs (a) through (f) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto.

The bidder shall take such action with respect to any subcontract or procurement as the Department or the Federal Highway Administration may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided, however, that in the event the bidder becomes involved in or is threatened with litigation with a subcontractor or supplier as a result of such direction, the bidder may request the Department to enter into such litigation to protect the interests of the Department and, in addition, the bidder may request the United States to enter into such litigation to protect the interests of the United States.